997 Functional Acknowledgment

Functional Group ID=FA

Introduction:

This standard provides the format and establishes the data contents of a functional acknowledgment transaction set. The purpose of this standard is to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Notes:

1. Use this transaction set to acknowledge the receipt, and acceptance or rejection of a functional group and the transaction set(s) contained within it based upon EDI translation software syntax edits.

2. No acknowledgment of a Functional Acknowledgment transaction set, in the case of receipt and acceptance notification, shall be provided.

3. Trading Partners should limit the scope of the data provided in the case of transaction set receipt and rejection notification to the transaction set level, i.e., the 1/AK3/040 loop should not be used. However, if separate arrangements with trading partners or flexibility within the translation software do not permit this level of response, the procedures identified herein, as applicable to the 1/AK3/040 loop should be followed.

Heading:

	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
Must Use	010	ST	Transaction Set Header	M	1		n1
Must Use	020	AK1	Functional Group Response Header	M	1		n2
			LOOP ID - AK2			999999	
	030	AK2	Transaction Set Response Header	O	1		n3
			LOOP ID - AK3			999999	
	040	AK3	Data Segment Note	O	1		c1
	050	AK4	Data Element Note	O	99		
Must Use	060	AK5	Transaction Set Response Trailer	M	1		
Must Use	070	AK9	Functional Group Response Trailer	M	1		
Must Use	080	SE	Transaction Set Trailer	M	1		

Transaction Set Notes

1. These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments.

The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, on acknowledgment functional group responds to only those functional groups from on application receiver's code to one application sender's code.
There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.

2. AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.

3. AK2 is used to start the acknowledgement of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Transaction Set Comments

1. The data segments of this standard are used to report the results of the syntatical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards for transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

Segment:	**ST** **Transaction Set Header**
Position:	010
Loop:	
Level:	Heading
Usage:	Mandatory
Max Use:	1
Purpose:	To indicate the start of a transaction set and to assign a control number
Syntax Notes:	
Semantic Notes:	
Comments:	**1** The transaction set identifier (ST01) is intended for use by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the invoice transaction set).

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes
Must Use	ST01	143	**Transaction Set Identifier Code**	M ID 3/3

Code uniquely identifying a Transaction Set

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	Ref. Des.	Data Element	Name	Attributes
Must Use	ST02	329	**Transaction Set Control Number**	M AN 4/9

Identifying control number assigned by the originator for a transaction set.

Use to transmit a unique number assigned by the originator of the transaction set. This number may be system generated.

Segment:	**AK1** Functional Group Response Header	
Position:	020	
Loop:		
Level:	Heading	
Usage:	Mandatory	
Max Use:	1	
Purpose:	To start acknowledgment of a functional group	
Syntax Notes:		
Semantic Notes:		
Comments:	**1**	AK102 is the data interchange control number found in the GS segment in the functional group being acknowledged.
Notes:		*1. Use to identify the unique identification number of the functional group in which the transaction set(s) being acknowledged was received.*
		2. Only one functional group may be referenced in a single 997 Functional Acknowledgment transaction set.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK101	479	**Functional Identifier Code**	M	ID	2/2
			Code identifying a group of application related transaction sets			
			Cite, using the appropriate code from the X12 code list, the functional group ID found in GS01 of the functional group being acknowledged.			
			Refer to 003010 Data Element Dictionary for acceptable code values.			
Must Use	AK102	28	**Group Control Number**	M	N0	1/9
			Assigned number originated and maintained by the sender			
			Use to identify the number cited in GS06 of the functional group being acknowledged.			

Segment:	**AK2** **Transaction Set Response Header**
Position:	030
Loop:	AK2
Level:	Heading
Usage:	Optional
Max Use:	1
Purpose:	To start acknowledgment of a single transaction set
Syntax Notes:	
Semantic Notes:	
Comments:	**1** AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged.

Notes: *1. Use to identify the unique identification number of the transaction set being acknowledged.*

2. AK2 and AK5 shall be provided for each Transaction Set that is accepted.

3. Also, AK2 and AK5 shall be provided for each Transaction Set being rejected for containing a syntactical error.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK201	143	**Transaction Set Identifier Code**	M	ID	3/3
			Code uniquely identifying a Transaction Set			
			Cite, using the appropriate code from the X12 code list, the transaction set ID found in the ST segment.			
			Refer to 003010 Data Element Dictionary for acceptable code values.			
Must Use	AK202	329	**Transaction Set Control Number**	M	AN	4/9
			Identifying control number assigned by the originator for a transaction set.			
			Use to identify the number cited in ST02 of the transaction set being acknowledged.			

Segment:	**AK3** Data Segment Note	
Position:	040	
Loop:	AK3	
Level:	Heading	
Usage:	Optional	
Max Use:	1	
Purpose:	To report errors in a data segment and identify the location of the data segment	
Syntax Notes:		
Semantic Notes:		
Comments:		
Notes:	*1. Use to identify a syntax error in a single segment.*	
	2. Use as many occurrences of the AK3 loop as necessary to describe all identified errors.	

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK301	721	**Segment ID Code**	M	ID	2/3
			Code defining the segment ID of the data segment in error (See Appendix A - Number 77)			
			Use to identify the segment containing syntactical errors, as it appears in the ASC X12 Data Segment Dictionary, e.g., REF.			
Must Use	AK302	719	**Segment Position in Transaction Set**	M	N0	1/6
			The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1			
			Use to identify the segment sequential position within the data stream of the transaction set as transmitted. This is not the segment position number portrayed in the transaction set structure.			
N/U	AK303	447	**Loop Identifier Code**	O	ID	1/4
			Code identifying a loop within the transaction set which is bounded by the related LS and LE segments (corresponding LS and LE segments must have the same value for loop identifier). (Note: The loop ID number given on the transaction set diagram is recommended as the value for this data element in segments LS and LE.)			
	AK304	720	**Segment Syntax Error Code**	O	ID	1/3
			Code indicating error found based on the syntax editing of a segment			
			Do not use when the error is in a data element within the segment.			
			Refer to 003010 Data Element Dictionary for acceptable code values.			
N/U	AK305	720	**Segment Syntax Error Code**	O	ID	1/3
			Code indicating error found based on the syntax editing of a segment			
N/U	AK306	720	**Segment Syntax Error Code**	O	ID	1/3
			Code indicating error found based on the syntax editing of a segment			
N/U	AK307	720	**Segment Syntax Error Code**	O	ID	1/3

Code indicating error found based on the syntax editing of a segment

N/U   **AK308**   **720**   **Segment Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of a segment

Segment:	**AK4** Data Element Note
Position:	050
Loop:	AK3
Level:	Heading
Usage:	Optional
Max Use:	99
Purpose:	To report errors in a data element and identify the location of the data element
Syntax Notes:	
Semantic Notes:	
Comments:	
Notes:	*1. Use to identify an erroneous data element. The segment which contains the erroneous data element must be identified in the preceding AK3 segment.*
	2. Use multiple occurrences of this segment to identify one or more data element errors within the segment specified in the preceding AK3 segment.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK401	722	**Element Position in Segment**	M	N0	1/2

This is used to indicate the relative position of the data element in error in this data segment. The count starts with 1 for the data element immediately following the segment ID. This value is 0 for an error in the segment ID.

Use to indicate the relative position of the data element containing the syntactical error within the segment. For example, in the N1 segment: 1 indicates an error in element N101, 2 indicates an error in element N102, etc. (Note: An error in the segment ID is identified in the AK3 segment and need not be identified at this level.

	Ref. Des.	Data Element	Name	Attributes		
	AK402	725	**Data Element Reference Number**	O	N0	1/4

Reference number used to locate the Data Element Dictionary.

Use to identify the data element number as it appears in the ASC X12 Data Element Dictionary. For example, the data element number for the AK402 data element is 725.

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK403	723	**Data Element Syntax Error Code**	M	ID	1/3

Code indicating the error found after syntax edits of a data element

Refer to 003010 Data Element Dictionary for acceptable code values.

	Ref. Des.	Data Element	Name	Attributes		
	AK404	724	**Copy of Bad Data Element**	O	AN	1/99

This is a copy of the data element in error

Segment:	**AK5** Transaction Set Response Trailer
Position:	060
Loop:	AK2
Level:	Heading
Usage:	Mandatory
Max Use:	1
Purpose:	To acknowledge acceptance or rejection and report errors in a transaction set
Syntax Notes:	
Semantic Notes:	
Comments:	
Notes:	*1. Use to indicate whether the transaction set indicated in the corresponding AK2 segment was accepted or rejected.*
	2. If the transaction set is rejected, use this segment to identify up to five (5) syntax errors at the transaction set level.

Data Element Summary

	Ref. Des.	Data Element	Name		Attributes	
Must Use	**AK501**	**717**	**Transaction Set Acknowledgment Code**	**M**	**ID**	**1/1**

Code indicating accept or reject condition based on the syntax editing of the transaction set

A	Accepted
R	Rejected

	Ref. Des.	Data Element	Name		Attributes	
	AK502	**718**	**Transaction Set Syntax Error Code**	**O**	**ID**	**1/3**

Code indicating error found based on the syntax editing of a transaction set

1. Use only when a transaction set is being rejected to identify the basis for rejection.

2. Codes may also be used in AK503-06 but no individual code may be used more than once.

3. When the 1/AK3/040 loop is not used and syntactical errors occurred below the transaction set level, use code 5.

Refer to 003010 Data Element Dictionary for acceptable code values.

	Ref. Des.	Data Element	Name		Attributes	
	AK503	**718**	**Transaction Set Syntax Error Code**	**O**	**ID**	**1/3**

Code indicating error found based on the syntax editing of a transaction set

Refer to 003010 Data Element Dictionary for acceptable code values.

	Ref. Des.	Data Element	Name		Attributes	
	AK504	**718**	**Transaction Set Syntax Error Code**	**O**	**ID**	**1/3**

Code indicating error found based on the syntax editing of a transaction set

Refer to 003010 Data Element Dictionary for acceptable code values.

	Ref. Des.	Data Element	Name		Attributes	
	AK505	**718**	**Transaction Set Syntax Error Code**	**O**	**ID**	**1/3**

Code indicating error found based on the syntax editing of a transaction set

Refer to 003010 Data Element Dictionary for acceptable code values.

AK506   **718**   **Transaction Set Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of a transaction set

Refer to 003010 Data Element Dictionary for acceptable code values.

Segment:	**AK9** Functional Group Response Trailer
Position:	070
Loop:	
Level:	Heading
Usage:	Mandatory
Max Use:	1
Purpose:	To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group
Syntax Notes:	
Semantic Notes:	
Comments:	1 If AK901 is 'A' or 'E', then the transmitted functional group is accepted. If AK901 is 'R', then the transmitted group is rejected.
Notes:	*1. Use only to indicate whether the functional group was accepted or rejected based on syntax errors in the functional group header or trailer.*
	2. If a functional group is rejected, all transaction sets within that group must be rejected using the AK9. In this case, individual AK2s for the rejected transaction sets need not be provided.
	3. If the functional group is rejected, use to identify up to five (5) syntax errors at the functional group level.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	AK901	715	**Functional Group Acknowledge Code**	M	ID	1/1
			Code indicating accept or reject condition based on the syntax editing of the functional group			
			A Accepted			
			R Rejected			
Must Use	AK902	97	**Number of Transaction Sets Included**	M	N0	1/6
			Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element			
Must Use	AK903	123	**Number of Received Transaction Sets**	M	N0	1/6
			Number of Transaction Sets received			
Must Use	AK904	2	**Number of Accepted Transaction Sets**	M	N0	1/6
			Number of accepted Transaction Sets in a Functional Group			
	AK905	716	**Functional Group Syntax Error Code**	O	ID	1/3
			Code indicating error found based on the syntax editing of the functional group header and/or trailer			
			1. Use only when a functional group is being rejected to identify the basis for rejection.			

2. Codes may also be used in AK906-09 but no individual code may be used more than once.

Refer to 003010 Data Element Dictionary for acceptable code values.

AK906   **716**   **Functional Group Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

Refer to 003010 Data Element Dictionary for acceptable code values.

AK907   **716**   **Functional Group Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

Refer to 003010 Data Element Dictionary for acceptable code values.

AK908   **716**   **Functional Group Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

Refer to 003010 Data Element Dictionary for acceptable code values.

AK909   **716**   **Functional Group Syntax Error Code**   **O**   **ID**   **1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

Refer to 003010 Data Element Dictionary for acceptable code values.

Segment:	**SE** **Transaction Set Trailer**
Position:	080
Loop:	
Level:	Heading
Usage:	Mandatory
Max Use:	1
Purpose:	To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments).
Syntax Notes:	
Semantic Notes:	
Comments:	**1** SE is the last segment of each transaction set.

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes		
Must Use	SE01	96	**Number of Included Segments**	M	N0	1/6
			Total number of segments included in a transaction set including ST and SE segments			
Must Use	SE02	329	**Transaction Set Control Number**	M	AN	4/9
			Identifying control number assigned by the originator for a transaction set.			
			This is the same number as that cited in ST02.			